



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
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PREFN-

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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|

Application Number:

Attachment to Paper Number:

NOTICE OF INFORMAL APPLICATION

This application is considered to be informal since it does not comply with the regulations for the reason(s) indicated below. The period within which to correct the informalities noted below and avoid abandonment is set in the accompanying Office action.

A. A new oath or declaration, identifying this application by the application number is required. The oath or declaration does not comply with 37 CFR 1.63 in that it:

- ☐ 1. does not identify the residence (e.g., city and either state or foreign country) of each inventor.
- ☐ 2. does not identify each inventor by full name, including the family name and at least one given name without abbreviation.
- ☐ 3. does not identify the complete post office address of each inventor.
- ☐ 4. does not identify the citizenship of each inventor.
- ☐ 5. does not state whether the inventor is a sole or joint inventor.
- ☐ 6. does not state that the person making the oath or declaration:
 - ☐ has reviewed and understands the contents of the specification, including the claims, as amended by any amendment specifically referred to in the oath or declaration.
 - ☐ believes the named inventor or inventors to be the original and the first inventor or inventors of the subject matter which is claimed and for which a patent is sought.
 - ☐ acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.
- ☐ 7. does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application number, country, day, month, and year of its filing.
- ☐ 8. does not state that the person making the oath or declaration acknowledges the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application which discloses and claims subject matter in addition to that disclosed in the prior application (37 CFR 1.63(e)).
- ☐ 9. contains non-initialed alterations (37 CFR 1.52(c)).

B. Applicant is required to provide:

- ☐ 1. Proof of authority of the legal representative under 37 CFR 1.44.
- ☒ 2. An abstract in compliance with 37 CFR 1.72(b).

C. ☐ OTHER:



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PEFN

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
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DATE MAILED:

NOTICE OF INCOMPLETE APPLICATION

A filing date has NOT been assigned to the above identified application papers for the reason(s) indicated below.

If all required items on this form are filed, the total amount owed by applicant as a ☐ small entity (statement filed)

☐ non-small entity is \$_____.

All of the items indicated below in "A" must be submitted within **TWO MONTHS** of the date of this Notice, or proceedings on the application will be terminated (37 CFR 1.53(e)). A newly executed oath or declaration in compliance with 37 CFR 1.63 covering these items is also required.

The filing date will be the date of receipt of all items required below in "A." Any assertions that these items required were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(i)). If the petition states that the application is complete, a request for refund of the petition fee may be included in the petition.

A. The above-identified application papers are not entitled to a filing date because:

☒ 1. The specification (description and claims):

☐ a. is missing.

☐ b. does not include a written description of the invention.

☐ c. does not include at least one claim as prescribed by 35 U.S.C. 112.

A complete specification (including at least one claim in a nonprovisional application) as prescribed by 35 U.S.C. 112 is required.

☐ 2. The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented."

Applicant should reconsider whether drawings are necessary under 35 U. S. C. 113 (first sentence).

B. Additional observations on the above-identified application papers:

☐ 1. The statutory basic filing fee is:

☐ missing

☐ insufficient

Applicant must submit \$_____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27(b)).

☐ 2. The following additional claim fees are due:

\$_____ for _____ total claims over 20.

\$_____ for _____ independent claims over 3.

\$_____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 4. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 5. Pages _____ of the specification are missing.

☐ 6. Figures _____ described in the specification are missing.

☐ 7. Other: _____

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

Enclosed:

☐ "General Information Concerning Patents." See page _____

☐ Other: _____

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202
FORM PTO-1123 (REV 9-99)

U.S. GPO 1999 453-21

PART 3 - OFFICE COPY